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## I. INTRODUCTION

These guidelines cover the procedures of the South Carolina State Library for its administration of Federal Fiscal Year (FFY) 2006 Library Services and Technology Act (LSTA) funds. The South Carolina State Library serves as the official State Library Administrative Agency (SLAA) for the state of South Carolina. State Librarian Patti J. Butcher is the Chief Officer of South Carolina's SLAA.

### About the IMLS

- Provides Library Services and Technology Act (LSTA) funds to State Library Administrative Agencies (SLAAs)
- An independent federal agency
- Empowers museums and libraries nationwide to provide leadership and services to:
  - enhance learning in families and communities;
  - sustain cultural heritage;
  - build 21<sup>st</sup> century skills; and
  - increase civic participation.

For additional information about the Institute of Museum and Library Services (IMLS) refer to [www.imls.gov](http://www.imls.gov).

### State Library Administrative Agencies (SLAAs)

A State Library Administrative Agency (SLAA) is the official agency of a State charged by the law of the State with the extension and development of public library services throughout the State. *[20 USC § 9122 (5), The Library Services and Technology Act]*

### Types of Sub-Grants and Sub-Grant Funding Priorities

A sub-grant is any LSTA grant awarded by a SLAA to another qualified applicant such as a library or other organization. A sub-grantee is a qualified organization that receives an LSTA grant award from an SLAA.

State libraries may use LSTA funds to support statewide initiatives and services; they also may distribute the funds through sub-grant competitions or cooperative agreements to public, academic, research, school and special libraries in their states. *(See Appendices for descriptions of the types of libraries that are eligible to received funds.)* **The South Carolina State Library targets its LSTA sub-grants to South Carolina's public libraries and its partnership agencies and organizations.** *Note: A County and/or Regional Library is a public library established by Section 4-9-35 of the South Carolina Code of Laws that serves free of charge all residents of a county and receives its financial support in whole or in part from public funds.*

Only projects supporting the State Library's LSTA Five-Year State Plan (<http://www.statelibrary.sc.gov/pubs/lstaplan03.html>) are considered for LSTA sub-grant funding. For Federal Fiscal Year (FYY) 2006 funds, priority consideration is being given to public libraries and collaborative entities developing sub-grant projects that focus on:

- **Partnerships** -- Applicants are encouraged to develop partnerships to the fullest extent possible—whether joined together by formal or informal agreements—to perform various services cooperatively. Applications should describe the procedures that will be used to involve library users, potential users and other collaborative partners in an LSTA-funded project. (For example, cooperative programs with community agencies and organizations to meet the needs of children and families.)
- **Children's services** -- Projects may involve literacy (reading development/reading readiness) for children, babies and books, summer reading clubs, children from families with incomes below the poverty line, school related educational activities for children, after-school learning activities, parent/child programming, children's story hours, pre-school, early childhood, Head Start, daycare programming, parent resource centers, Grandparent reading programs, home schooling, homework centers/helpers and the like.
- **Services to special populations** -- This includes services for people with disabilities; people with limited literacy or information skills; homebound persons; developmentally disabled persons, underserved rural and urban communities and the like. Projects may involve assistive technologies and devices, prison and jail services, services to nursing homes and other institutions, outreach services, services for migrant workers and non-English speakers, homebound services and the like.

Priority consideration is also being given to those supporting South Carolina State Library statewide initiatives, which are programs that have the entire State's population as potential beneficiaries. Examples include:

- the "Every Child Ready to Read" program,
- literary arts programming in South Carolina's public libraries,
- a statewide union catalog,
- the "Once Upon A Time" 2006 Vacation Reading Program,
- DISCUS-South Carolina's Virtual Library,
- digitization of South Carolina State Government and other South Carolina documents,
- etc.

Funds are distributed through three types of sub-grants:

1. Competitive – Available for a short time period and subject to specified application deadlines.
2. Discretionary -- Only Continuing Education Grants are discretionary, i.e., without application deadlines. They are available throughout a funding year, but are

subject to the availability of funds. Guidelines for applying for CE grants are available at [www.statelibrary.sc.gov/lib/funding.html](http://www.statelibrary.sc.gov/lib/funding.html).

3. Cooperative Agreements – Available to partnership agencies/organizations engaged in activities that specifically support South Carolina State Library statewide initiatives, as outlined in its LSTA Five-Year Plan. Collaborative partners may be state institutional, academic, school or special libraries, non-profits and state agencies.

### **Federal Fiscal Year (FFY)**

An SLAA is awarded an LSTA allotment each (FFY) Federal Fiscal Year, October 1 - September 30. The allotment can be used over a two-year period, known as the grant funding cycle. The State Programs Report (SPR) filed by a SLAA covers all projects for which an allotment was expended.

<b>Federal Fiscal Year</b>	<b>Federal Fiscal Year Begins</b>	<b>Federal Fiscal Year Ends</b>	<b>Two-Year Award Period and Cycle of Funding Ends</b>	<b>LSTA State Program Report Due to IMLS</b>
FFY 2005	Oct. 1, 2004	Sept. 30, 2005	Sept. 30, 2006	Dec. 31, 2006
FFY 2006	Oct. 1, 2005	Sept. 30, 2006	Sept. 30, 2007	Dec. 31, 2007

### **Federal Share and Local Match**

The State Library provides a sub-grantee with up to 66% of the total cost of a sub-grant project (federal share) and expects no less than 34% (match) from non-Federal, State or local sources or other non-federal entities (including corporations and foundations).

Although in-kind support may be factored in to meet the 34% required match, the South Carolina State Library strongly recommends, as evidence of local involvement and a commitment to the project objectives and expected outcomes, cash support from state, local, and other sub-grantee funding sources. A cash match is the amount of money a sub-grantee and any partnering organizations put toward an LSTA project cost.

To ensure the continuation of successful projects, sub-grantees should plan for the expiration of federal aid by seeking on-going funding from local county appropriations or other sources.

***Note:** Maintenance of Effort (MOE), i.e., income received (and expended) from local tax sources for the current year, must not be less than the expenditure of funds received from the same tax sources in the second preceding fiscal year. When there is a failure to meet the level of expenditure of the second preceding fiscal year libraries may be required, by federal regulations, to return funds received.*

## II. GENERAL OVERVIEW: THE LIBRARY SERVICES AND TECHNOLOGY ACT (LSTA)

The Museum and Library Services Act of 1996 (P.L. 104-208) created the Institute of Museum and Library Services.

In September 2003, President George W. Bush signed into law **H.R. 13 the Museum and Library Services Act of 2003 (P.L. 108—81)**. The legislation reauthorized federal support provided by the Institute of Museum and Library Services (IMLS). Amendments made to the Act became effective on October 1, 2003. Through the legislation, using a population-based formula, IMLS provides funds to State Library Administrative Agencies (SLAAs).

The FFY 2006 Consolidated Appropriations Act (P.L. 109-149) provides a total of \$163,746,000 for dispersal to every state. South Carolina's share is \$2,462,858.

Under (P.L. 108-81, as amended) LSTA of 2003 [H.R. 13] there are six specific purposes/goals for which State Library Agencies (SLAAs) may use State-based LSTA funds. They are outlined on page 26 of the Appendices. Only projects supporting the State Library's LSTA Five-Year State Plan and these six purposes are eligible for State Library LSTA sub-grant funding.

## III. STATUTORY AND REGULATORY REQUIREMENTS

Grant recipients are required to observe all applicable federal, state, and local laws and regulations applicable to the administration of grants. *See page 37 of the Appendices, "Legal References" or see <http://www.ims.gov/recipients/references.shtm>.*

### **Complying With The Children's Internet Protection Act (CIPA)**

Public libraries and public elementary and secondary school libraries must certify compliance with CIPA to obtain Program Year 2006 funding from State Library Administrative Agencies (SLAAs) and are no longer eligible to seek a waiver of the Act's requirements. A consortium or group applicant affected by the law must (1) collect and maintain on file a certification from each of the group's constituent libraries to which CIPA's conditions apply, and (2) provide a certification on behalf of the group to the SLAA.

**Libraries that receive services at discount rates under section 254(h)(6) of the Communications Act of 1934 certify compliance under the E-Rate program and do not have to provide an additional certification under the IMLS Library State Grants program.**

Under CIPA, State Library Administrative Agencies (SLAAs) must assure the Federal Government that no funds will be made available, for public libraries and public

elementary and secondary school libraries, that do not receive E-rate discounts, to purchase computers to access the Internet or pay for the direct costs of accessing the Internet, unless the libraries have certified that they have Internet safety policies and technology protection measures in place. SLAA's must collect certifications from libraries subject to CIPA that apply to the States for LSTA funding. **Both the SLAA and libraries seeking LSTA State Program funds must certify compliance with the law.**

*SEE APPENDICES: "Internet Safety Certification & Instructions For Applicant Public Libraries - Program Year 2006 Funds" and "Statutory and Regulatory Requirements."*

#### IV. GRANT CYCLE CALENDAR

CALENDAR YEAR 2005	ACTIVITY
October 1, 2005	<ul style="list-style-type: none"> <li>Federal Fiscal Year (FFY) 2006 begins</li> <li>FFY 2006 Two-Year Grant Award Period Begins</li> </ul>
CALENDAR YEAR 2006	ACTIVITY
January – June 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>Sub-grantees submit requests for reimbursements for projects funded with FFY 2005 funds</li> </ul>
January – February	<ul style="list-style-type: none"> <li>Libraries prepare and submit sub-grant project proposals for FFY 06 funds</li> </ul>
March	<ul style="list-style-type: none"> <li>LSTA Review Committee selects projects for FFY 06 funding</li> </ul>
April	<ul style="list-style-type: none"> <li>Libraries selected for FFY 06 funding prepare and submit sub-grant project applications</li> </ul>
May	<ul style="list-style-type: none"> <li>State Library issues FFY 2006 Sub-Grant Awards</li> </ul>
June 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>End of the State Fiscal Year</li> </ul>
July – September 1 <sup>st</sup>	<ul style="list-style-type: none"> <li>Sub-grantees submit final requests for reimbursements for projects funded with FFY 2005 funds</li> </ul>
June – December	<ul style="list-style-type: none"> <li>State Library drafts LSTA 5-Year Plan (2003-2007) evaluation report</li> <li>State Library begins development of 2008-2012 LSTA 5-Year Plan</li> </ul>
September 1 <sup>st</sup>	<ul style="list-style-type: none"> <li>LAST DAY to submit "Requests for Reimbursements" for FFY 2005 sub-grant projects</li> </ul>
September 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>FFY 2005 Two-Year Grant Award Period Ends</li> <li>FFY 2006 Ends</li> </ul>
October 1	<ul style="list-style-type: none"> <li>Beginning of Federal Fiscal Year (FFY) 2007</li> <li>FFY 2007 Two-Year Grant Award Period Begins</li> </ul>
October 15	<ul style="list-style-type: none"> <li>State Library submits new information update sheet to IMLS</li> </ul>
October 31 <sup>st</sup>	<ul style="list-style-type: none"> <li>Final evaluation reports due for sub-grant projects funded with FFY 05 funds</li> </ul>
November 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>Interim evaluation reports due for sub-grant projects funded with FFY 06 Funds</li> </ul>
November - December	<ul style="list-style-type: none"> <li>State Library prepares State Program Report for FFY 05 LSTA funded projects</li> </ul>
December 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>State Library Submits FFY 05 State Program Report to IMLS</li> </ul>



## GRANT CYCLE CALENDAR (continued)

CALENDAR YEAR 2007	ACTIVITY
January – February	<ul style="list-style-type: none"> <li>▪ IMLS Issues FFY07 Program Funds to States</li> </ul>
January – March	<ul style="list-style-type: none"> <li>▪ State Library continues work on LSTA 5-Year Plan (2003-2007) evaluation report</li> <li>▪ State Library continues development of 2008-2012 LSTA 5-Year Plan</li> </ul>
March 31	<ul style="list-style-type: none"> <li>▪ LSTA 5-Year (2003-2007) evaluation report due to IMLS</li> </ul>
January – June 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>▪ Sub-grantees submit requests for reimbursements for projects funded with FFY 2006 funds</li> </ul>
April – June	<ul style="list-style-type: none"> <li>▪ State Library continues development of 2008-2012 LSTA 5-Year Plan</li> </ul>
June 30	<ul style="list-style-type: none"> <li>▪ LSTA 5-Year Plan, 2008-2012 due to IMLS</li> </ul>
July – September 1 <sup>st</sup>	<ul style="list-style-type: none"> <li>▪ Sub-grantees submit final requests for reimbursements for projects funded with FFY 2006 funds</li> </ul>
September 1 <sup>st</sup>	<ul style="list-style-type: none"> <li>▪ <b>LAST DAY to submit “Requests for Reimbursements” for FFY 2006 sub-grant projects</b></li> </ul>
September 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>▪ FFY 2006 Two-Year Grant Award Period Ends</li> <li>▪ FFY 2007 Ends</li> </ul>
October 1	<ul style="list-style-type: none"> <li>▪ Beginning of Federal Fiscal Year (FFY) 2008</li> <li>▪ FFY 2008 Two-Year Grant Award Period Begins</li> </ul>
October 15	<ul style="list-style-type: none"> <li>▪ State Library submits new information update sheet to IMLS</li> </ul>
October 31 <sup>st</sup>	<ul style="list-style-type: none"> <li>▪ <b>Final evaluation reports due for sub-grant projects funded with FFY 06 funds</b></li> </ul>
November 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>▪ <b>Interim Reports due for sub-grant projects funded with FFY 07 Funds</b></li> </ul>
November - December	<ul style="list-style-type: none"> <li>▪ State Library prepares State Program Report for FFY 06 LSTA funded projects</li> </ul>
December 31 <sup>st</sup>	<ul style="list-style-type: none"> <li>▪ State Library Submits FFY 06 State Program Report to IMLS</li> </ul>

## V. LSTA SUB-GRANTS: GENERAL ELIGIBILITY CRITERIA

### **Public Libraries must**

1. Meet eligibility requirements for State Aid.
2. Provide free access to Interlibrary Loan Services. *(When necessary, actual cost of postage and/or charges by lending library may be recovered.)*
3. Certify compliance with CIPA for program year 2006 LSTA funds.

### **Other Organizations, State Agencies and Libraries must**

1. Support and/or complement the goals of public libraries and South Carolina State Library statewide initiatives.
2. Be engaged in activities that specifically support South Carolina State Library statewide initiatives.
3. If affected by the law, comply with any applicable CIPA requirements.

### Organizations must also

- Be non-profit

### State Residential Institutional Libraries must also

- Have full-time staff responsible for the library, an organized collection, adequate space, a materials budget, and a minimum of 20 hours of service per week.
- Submit statistical data to the State Library annually.
- Provide some opportunity for service to the public or have a strong commitment to resource sharing.

### Elementary and Secondary School Library-Media Centers must also

- Be a South Carolina public school; or a federal/state school, or a South Carolina private school that holds Southern Association of Colleges and Schools (SACS) accreditation.

### Academic Libraries must also

- Be a South Carolina public college/university or a South Carolina independent college/university that holds non-profit status.
- Submit statistical data to the State Library annually.
- Provide some opportunity for service to the public or have a strong commitment to resource sharing.

### Special Libraries must also

- Have full-time staff responsible for the library and an organized collection.
- Provide some opportunity for service to the public or have a strong commitment to resource sharing.
- If affected by the law, comply with any applicable CIPA requirements.

## VI. SOUTH CAROLINA STATE LIBRARY LSTA FIVE-YEAR PLAN SUMMARY

Only projects supporting the South Carolina State Library's LSTA Five-Year State Plan goals are approved for sub-grant funding. Projects must relate to one or more of the four goals of the plan. *The goals are outlined on page 26 of the Appendices.* The text of the complete LSTA Five-Year plan is available at <http://www.statelibrary.sc.gov/pubs/lstaplan03.html>.

## VII. THE LSTA PROJECT APPLICATION PROCESS

- Questions or concerns related to the administration of the LSTA Program at the South Carolina State Library (SCSL) may be directed to Patti J. Butcher, Director, SCSL and Chief Officer of South Carolina's State Library Administrative Agency (SLAA). Email [patti@leo.scsl.state.sc.us](mailto:patti@leo.scsl.state.sc.us).
- Library Development Services (LDS) staff serve as LSTA Sub-Grant Project Consultants and provide assistance with development of sub-grant proposals, official applications, and with interim/final project reports/evaluations. Contact Felicia Vereen, Director, Library Development Services. Email [feliciav@leo.scsl.state.sc.us](mailto:feliciav@leo.scsl.state.sc.us).
- Questions or concerns related to LSTA requirements, guidelines, reimbursements and other related matters may be directed to Guynell Williams, LSTA Coordinator. Email [guynell@leo.scsl.state.sc.us](mailto:guynell@leo.scsl.state.sc.us).
- LSTA sub-grant project forms are available at <http://www.statelibrary.sc.gov/lib/funding.html>

### STEP 1 – The LSTA Sub-Grant Project Proposal

- For FFY06, the call for project proposals is issued in January or February.

Written proposals, two (2) pages or less, should be submitted to the LSTA Coordinator (by mail, email or fax) and must include the following:

1. Applicant contact information
2. Project Title
3. LSTA Purpose
4. State Goal
5. Project Timeline (Start/End Dates)
6. General Summary of Project Purpose, Service Need, Target Group, and Primary Service
7. Preliminary Budget Proposal that includes total project cost, LSTA funds requested and local matching funds (*up to 66% LSTA and 34% local match*); proposal should also provide preliminary details on planned project expenditures.

## Step 2 – The LSTA Sub-Grant Project Application

An LSTA sub-grant application packet must include a completed and signed LSTA Project Application Form and a detailed LSTA Project Narrative.

- Submit two (2) paper copies with original signatures
- Use forms for the FFY06 LSTA grant cycle only
- Submit application packets to meet established deadlines

### Part I: Instructions, LSTA Project Application Form

- **Sub-Grant Project Title.** Indicate the title you have given your project.
- **Name, Address, Telephone Number and E-mail** of (a) Applicant (b) Project Administrator (c) Fiscal Officer. *(NOTE: Applicant is the library, agency, organization or other qualifying institution submitting the sub-grant application)*
- **Congressional District(s)** served by the project.
- **Number of Persons Targeted for Service** This is the potential population to be reached. Calculate the estimated percentage and provide the number of people likely to be impacted by your project. DO NOT cite the entire population of a county, town, or state. *(See Part II, Detailed Project Narrative instructions)*
- **Evaluation Methods.** Indicate the evaluation process or processes that will be used to document the success of the project. *(Whenever applicable, outcome based evaluation [OBE] is preferred.)* SEE APPENDICES for more on OBE.
- **Budget.** Indicate LSTA Grant Funds requested for the project and any other funds (State Aid, local or other fund sources) to be used as the cash and or in-kind match i.e., value of goods and or services provided by the applicant. *(The match must be at least 34%.)*

### Part II: Instructions, Detailed LSTA Project Narrative

The following must be included in the narrative of each application. The South Carolina State Library may request additional information and supportive documentation as necessary.

1. **Sub-Grant Project Title**
2. **State Goals.** Your project should relate to one or more of the four goals *(see page 26 of the Appendices)* the State Library has included in its Five-Year Plan. **Select the one that best characterizes your project.** Document your project's relationship to that goal.
3. **LSTA Purpose.** The LSTA sets forth six purposes *(see page 26 of the appendices)* for which State Library Agencies can use State-based LSTA funds. **Select the one purpose that best characterizes your project.** Document your project's relationship to that purpose.

4. **Project Purpose, Service Need and Description of Target Group.** Describe the need for the project. DO NOT cite inadequate local financial resources—this is a given. Focus instead on the target group, their needs, and resources, services and/or programs that the project will deliver to meet those needs. The project purpose should answer the questions: what we do, for whom, and for what expected outcome or benefit. Estimate the anticipated number of people that may potentially use and benefit from the project. If the project is designed to serve specific populations, such as children, elderly, people with disabilities, limited English-speaking, and the like, the estimate should be based upon that particular group's percentage of the total library service population. **DO NOT use the total estimated population of a service area and DO NOT cite the entire population of a county, town, or state.** Calculate the estimated percentage/likely number of people to be impacted by your project.
5. **Goal(s), Service Objective(s), Activities and Methods.** Describe how the project is to be carried out. Identify each activity in relationship to its objective and describe the methods that will be used to carry out those activities. Quantitative objectives are preferred, but qualitative objectives may be utilized. For example: How many workshops are to be conducted? How is the service to be promoted? Also, describe available resources, including library materials, equipment, facilities and staff and others involved in the implementation and administration of the project. Include a timeline for critical events and specify their relationship to the project. **A sub-grant project activity timeline must coincide with the federal two-year grant cycle period.** Project timelines should match the actual end of an LSTA two-year grant cycle. For FFY 06 funds, this is September 30, 2007. (*See Grant Cycle Calendar*)
6. **Partnerships.** Applicants are encouraged to develop partnerships to the fullest extent possible, i.e., collaboration between a library and one or more external departments, agencies, or organizations for the mutual benefit of all the participants. Describe the procedures that will be used to involve library users, potential users and other collaborative partners (e.g., local community groups, local school districts, other county agencies, etc.) in your LSTA-funded project. **If partnership development is not appropriate for your project, include a brief statement that explains why.**
7. **Budget documentation and justification.** The budget must reflect the total cost (sum resulting from the addition of the requested LSTA funds, the cash and the in-kind matches) of the project and must include funds from all sources. **Specify exact amounts for cash vs. in-kind.** Provide a detailed listing of personnel, library materials, equipment and any and all other anticipated project expenditures by source of funds. All requests for funding for equipment must include the name of the item, the number of items to be purchased, the estimated per unit cost of each

item and the total cost. **Items of equipment costing \$5,000 or greater with more than one year of usable life may be purchased with grant funds only upon approval by IMLS and the South Carolina State Library.** *(See pages 33-34 of Appendices)*

8. **Marketing Plan.** Describe the specifics for promoting use and awareness of services to be provided by the LSTA funded project. Incorporate the activities into your overall project timeline. **The Institute of Museum and Library Services requires public acknowledgement of the activities it supports.** Acknowledgement must be present on all related publications and must be given orally at any promotional events held in conjunction with the use of LSTA sub-grant funds. *(See Appendices, "Publicizing Your LSTA Sub-Grant Award," page 38.)*
9. **Evaluation Plan.** *(See pages 29-30 of the Appendices for additional information on evaluating and LSTA project)* Describe the methodology/evaluation process or processes that will be used to document the degree to which the LSTA project has met its goals and objectives, in terms of creating benefits for the target group. Include a description of the ways outcomes are to be gathered, such as through a survey, pre- and post-tests given in training, or other systematic measures of intended outcomes. Include methodology for obtaining statistical data or outputs (measures of the volume of a program's activity: products created or delivered, people served, activities and services carried out). Outputs are almost always numbers.

Outcome based evaluation (OBE) is the preferred evaluation method. If OBE is not appropriate for your project, include a brief statement that explains why.

The OBE evaluation process documents success in terms of the benefits created for individuals (change in the target audience's skills, knowledge, behavior, attitude, status, or life condition brought about in part by experiencing the project). Outcomes are the "people" or what happened because of the outputs.

10. **Continuation of successful projects.** Describe plans for continuation of successful projects once sub-grant funds are no longer available. Include anticipated future operating costs and identify and explain any anticipated future need for LSTA funding.

## VIII. LSTA SUB-GRANT AWARD PROCESS

1. Neither the preparation nor the submission of an application guarantees final approval of an LSTA sub-grant project.
2. Proposals are evaluated by an LSTA Proposal Review Committee, which consists of staff of the State Library (Director, LSTA Coordinator, Director of Library Development Services, Director of Statewide Services and Library Development Consultants) and one representative from each of the following, a public library, a library school and a collaborative agency.
3. A final decision concerning the approval of an LSTA sub-grant project is based on priority ranking by the LSTA Proposal Review Committee and actual funds available.
4. Applicants are notified of approval of their project proposals and are provided with a deadline for submitting the actual application. Library Development Services (LDS) staff serve as LSTA Sub-Grant Project Consultants and provide assistance to public library staffs with development of sub-grant proposals, official applications, and with interim/final project reports/evaluations. Contact Felicia Vereen, Director, Library Development Services. Email [feliciav@leo.scsl.state.sc.us](mailto:feliciav@leo.scsl.state.sc.us).
5. **Upon approval of a project application**, an official sub-grant award contract, signed by the Director of the South Carolina State Library, is sent to a sub-grantee (recipient is the library or other organization, not an individual). *(See <http://www.statelibrary.sc.gov/lib/lsta.html> for a sample of the award contract.)*
6. Once issued, the Grant Award Contract identifies the grant period within which the sub-grantee may carry out activities and charge costs to the award. The award date is the date on the award contract.
7. The LSTA award is a contract between the recipient and the South Carolina State Library, which states that funds received:
  - Will be expended as outlined in the application
  - Will not be used to reduce local tax funding due to receipt of LSTA funds.
8. The non-Federal entity is the parent organization under which the sub-grant recipient operates. For example, the non-Federal entity for sub-grants to:

County And Regional Library Systems	is	The County Government
College And University Libraries	is	The College or University
Technical College Libraries	is	The Technical College
K-12 School Library/Media Centers	is	The School District

9. Upon acceptance of an LSTA sub-grant from the South Carolina State Library, the sub-grantee agrees to abide by all requirements of the contract, by LSTA statutory and regulatory requirements and by LSTA program guidelines of the South Carolina State Library. *(See page xx of Appendices for "LSTA Legal References.")*

## VIII. ADMINISTRATIVE GUIDELINES: LSTA SUB-GRANT PROJECTS

### LSTA Sub-Grant Project Revisions

**NOTE:** *Discuss project revision needs with your designated Library Development Services consultant prior to submitting a project revision request to the LSTA Coordinator.*

Sub-grantees must obtain prior approval in writing from the South Carolina State Library for revisions to approved LSTA sub-grant projects involving:

- A change in the scope or objectives of a project, regardless of whether there is an associated budget revision. Any project that is carried out under a grant must be consistent with the scope of the proposal that was approved for LSTA funding.
- Budget revisions for the transfer of funds among categories, line item changes of more than 25%, and the addition of costs that are specifically disallowed by the terms and conditions of the grant award or for which the applicable cost principles require prior approval. ***All budget revisions, regardless of the amount, require submission of the form "Request for Transfers or Revisions in LSTA Project Budgets". (The form is available online.)*** The signature of the designated authorizing official (library director, project administrator or fiscal officer) must appear on the form.
- Changes in key project personnel (administrative and programmatic, e.g., project director or the co-director).
- Obtaining services (by contracting, or other means) of a third party that were not approved in the original project plan. ***Note: Contractual services are professional services performed by an individual not on the library's regular payroll or who is not directly supervised by library staff. Contracts for services should be budgeted under the category "other expenditures."***
- Purchase of equipment not approved in the original application.
- Equipment costing \$5,000.00 or greater with more than 1 year of usable life. Requests must detail the proposed expenditure. *(See pages 33-34 of the Appendices)*
- Grant funds may not be expended for:
  - Unapproved changes
  - Unallowable costs (See APPENDICES: "Tip Sheet: Allowable/Unallowable Costs")



## **Expenditure of Sub-Grant Funds**

*(Adapted from the IMLS document, "Guidance for using your Grant Award Funds")*

**NOTE:** *SLAAs may withhold grant funds, suspend or terminate a grant, or require the return of grant funds when a sub-grantee fails to comply with requirements.*

- Funds may not be obligated or expended until an applicant is officially notified of a sub-grant award.
- Funds may be expended only for the purposes for which the sub-grant is awarded and for activities supporting the goals and objectives identified in the approved LSTA project.
- Sub-grantees must ensure that all grant funds are obligated during the grant period and that activities are completed within the same time period. *For Program Year 2006, sub-grantees must expend all award funds by or before September 1, 2007 and complete sub-grant project activities by September 30, 2007.*
- Invoices with dates prior to the approval of a sub-grant award cannot and will not be approved for payment and do not qualify as matching funds.
- A matching requirement is one under which a grantee is required to contribute a portion of the total project cost, i.e., cost sharing. Although in-kind support is acceptable, a combination of cash/in-kind from local or other funding sources, with the majority of the match coming from cash support, is recommended, because it provides evidence (to IMLS) of local involvement and a commitment of the sub-grantee to a project's objectives and expected outcomes.

All cash and in-kind contributions to a project that are provided by the grantee or by a third party are acceptable as the grantee's cost sharing when contributions are:

- verifiable from the grantee's records;
- not included as contributions from any other federally-assisted program;
- necessary and reasonable for the proper and efficient accomplishment of project objectives;
- types of charges that would be allowable under the applicable cost principles;
- used to support activities that are included in the approved project work plan; and
- incurred during the grant period.

## **Reimbursement Procedures**

**NOTE:** *For timely processing of reimbursement requests, sub-grantees should submit "Requests for Payments/Reimbursements" by or before June 1<sup>st</sup> for all expenditures completed prior to June 30<sup>th</sup> (the end of the State Fiscal Year).*

*After June 30<sup>th</sup>, sub-grantees must expend all grant monies by or before September 1<sup>st</sup> and must submit reimbursement requests by or before September 30<sup>th</sup>.*

- LSTA is a reimbursable program. (*The forms “Request for Reimbursement Payments, Personal Services Report and Personal Services Requisition” are available online at <http://www.statelibrary.sc.gov/lib/lsta.html>.*) Upon receipt of a properly completed “Request for Reimbursement Payments” form accompanied by required documentation of expenditures, payments/reimbursements are made to a:
  - county treasurer for credit to a county library,
  - governmental agency for libraries within governmental agencies, and
  - qualifying organization or agency.
- All documentation must be legible, clearly indicate the amount paid with LSTA funds, be approved for payment by the fiscal officer listed on the LSTA project application and carry all required signatures.
- **Acceptable documentation** of expenditures includes, but is not limited to, legible copies of:
  1. Invoices that include name of the vendor, invoice number, date, description of goods and/or services, quantity, unit cost, applicable shipping and handling charges, taxes, discounts, and total amount.
  2. “Personal Services Report” forms that include the name of the employee, dates covered and total personal services cost (salary and fringe benefits). Personnel activity reports shall account, on an after the fact basis, for 100% of an employee’s actual time (separately indicating the time spent on the LSTA sub-grant project). The report must be signed by the employee, approved by the appropriate official, and coincide with a pay period.
  3. Copies of a contract must be attached for reimbursement of contractual costs. Formal agreements with independent contractors, such as consultants, must include a description of the services to be performed, the period of performance, the fee and method of payment, an itemization of travel and other costs which are chargeable to the agreement, and the signatures of both the contractor and an appropriate official of the sub-grantee organization.
- Each invoice must clearly indicate that it has been APPROVED FOR PAYMENT. Approval for Payment consists of:
  1. The words “Approved for Payment” indicating that the goods and/or services have been received as ordered and in acceptable condition.
  2. South Carolina State Library assigned Project Identification Number, e.g., IID-06-58. (*IID is the budget category, 06 is the funding year, and 58 is the sub-grantee identifying number*)
  3. Amount charged to LSTA funds.
  4. Fiscal Officer’s signature/initials and date.

- **Unacceptable documentation** of expenditures, includes, but is not limited to, copies of:
  1. Personal credit card receipts
  2. Purchase orders *(If the company provides only purchase orders, include a note indicating the purchase order is the only billing form provided by the company.)*
  3. **Proforma invoices** *(Pro Forma - Presentation of financial information that gives effect to an assumed event)*
  4. Packing slips *(If the vendor's billing system provides only packing slips, include a note indicating the packing slip is the only billing form provided by the vendor.)*
- **Advance payments** (also known as capital advances) are available to subgrantees needing to meet personal services costs for an approved LSTA project. Documentation is required and requests must be submitted using the correct forms. *(See "Personal Services Requisition" online form)*
- **All other advance payments require prior approval by the Institute of Museum and Library Services (IMLS) and by the SC State Library.** Contact the LSTA Coordinator before submitting an advance request for any need other than personal services. *To submit a personal services advance request, use the "Personal Services Requisition" and "Personal Services Report" online forms. Use the "Request for Special Advance" online form for all other advance needs.*

Due to complex federal requirements and additional payment processing procedures, only exceptional circumstances are considered for special advance LSTA payments. Additional documentation, other than the information requested on the form, is required. However, such is requested only after consultation with the State Librarian. **Final approval of special advance requests is at the discretion of the Chief Officer of the State's SLAA, Patti J. Butcher, State Librarian.**

- Travel costs are the expenses for transportation, lodging, subsistence and related items incurred by those who are on official business related to work under the subgrant project. **Travel costs must be submitted on South Carolina State Library travel forms (available online) or local forms may be used if all of the following information is provided:**
  - Name and social security number of staff member
  - Purpose of travel
  - Date and time of departure
  - Date and time of return
  - Destination of travel
  - Automobile miles
  - Claim for meals, lodging, air or other transportation, registration fees, and other allowable costs associated with the travel

### Receipts are required for:

- Lodging
- Air or other transportation (*Airfare costs in excess of the lowest available commercial discount or customary standard (coach) airfare are unallowable unless such accommodations are not reasonably available to accomplish the purpose of travel.*)
- Registration fees, parking and other associated costs
- Meals (*unless the sub-grantee uses the state per diem schedule*)

**NOTE:** Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs, or on a combination of the two, provided the method used results in charges consistent with those normally allowed by the State of South Carolina in its regular operation of State Government business. (*See pages 32-36 of Appendices, "Allowable/Unallowable Costs."*)

### Other Sub-Grantee Responsibilities

- Sub-grantees are required to:
  1. Have an accounting system that provides accurate, current, and complete disclosure of all financial transactions related to each LSTA sponsored project.
  2. Identify, in accounts, all LSTA funds received and expended and the Federal program under which awards were received. Federal program and award identification shall include, as applicable, the CFDA title and number (CFDA No. 45.310), award number and year, name of the federal agency (IMLS), and name of the pass-through entity (South Carolina State Library). *Note: CFDA is Catalog of Federal Domestic Assistance, see <http://www.cfda.gov/>.*
  3. Manage awards in compliance with laws, regulations, and the sub-grant agreement, which include but are not limited to:
    - Maintaining records of expenditures to facilitate an effective audit. Accounting records must contain information pertaining to the sub-grant award, authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures and income. These records must be maintained on a current basis and must be supported by source documentation such as canceled checks, paid bills, vouchers, invoices, payroll (time and attendance records), etc. Separate sets of cash control ledgers must be maintained for each fund and project. Documentation for salary changes shall be based on a system of personnel activity reports.
    - Providing authorized state and/or federal representatives access to the project site, books, documents, papers, and all other records pertinent to the sub-grant for audit examination purposes and to ensure program compliance.
    - Maintaining effective control and accountability for real and personal property and other assets and adequately safeguarding all such property and assuring that it is used solely for authorized purposes.

## Allowable & Unallowable Costs

All costs necessary and reasonable for the proper and efficient administration of a project and that are in accord with the provisions of OMB Circular A-87 “Cost principles for State, Local, and Indian Tribal Governments” are allowable costs. (SEE APPENDICES: “Tip Sheet: Circular A-87: Allowable/Unallowable Costs”—see <http://stateprograms.ims.gov/documents/GovernmentForms/omba87.html>)

## Audits

- Sub-grantees are subject to the audit requirements contained in the Single Audit Act of 1996 (31 U.S.C. 7501-7507) and OMB Circular A-133 “Audits of States, Local Governments, and Non-Profit Organizations, Subpart C--Auditees, Section .310 Financial statements.” A schedule of expenditures by source of funds should be attached to the audit. (See the online form “Audit Schedule of Revenues and Expenditures at <http://www.statelibrary.sc.gov/lib/docs/sa2006/audit.pdf>.) Include the sub-grantor (South Carolina State Library), CFDA number, and grant award number for each LSTA sub-grant.
- Sub-grantees must ensure that an annual audit is properly performed, reviewed by the appropriate library official, and submitted to the South Carolina State Library thirty (30) days after receipt of the auditor’s report(s), or no later than nine (9) months after the end of the audit period.
- A sub-grant project is not closed out until the required audit, submitted by the sub-grant recipient has been accepted by the South Carolina State Library. If the audit does not document the receipt and expenditure of funds by source, the sub-grant recipient must submit supplemental information documenting the receipt and expenditure by source of funds reconciled to the audit.
- Sub-grantees must take corrective action on audit findings, including preparation of a summary schedule of prior audit findings and a corrective action plan in accordance with OMB Circular A-133, Subpart C--Auditees, Section .315 Audit findings follow-up.

## Records Retention (45 CFR 1183.42):

- All financial and programmatic records, supporting documents, statistical records and other records pertinent to an LSTA grant must be retained for three (3) years from the day the sub-grantee submits its last expenditure/audit report to the South Carolina State Library. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the record must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later.
- At all times during the retention period, the South Carolina State Library, IMLS, the Comptroller General of the United States, or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records pertinent to an LSTA sub-grant.

## X. LSTA SUB-GRANT INTERIM AND FINAL PROJECT REPORTS

### General information

An evaluation report should document the success of achieving performance goals and explain and describe all instances where performance goal(s) are not met. The IMLS uses well-written evaluations to capture the attention of Congress and make a persuasive case for continued and increased LSTA funding.

To document “life changing” stories, answer these questions: (1) What happened because of the program? (2) What impact did it have? (*See pages 29-30 of the Appendices for more information on evaluation methods and refer to <http://www.imls.gov/applicants/overview.shtm> for IMLS’ Outcome Based Evaluation (OBE) overview.*)

It is essential that sub-grant recipients:

1. describe outcomes as benefits to a project’s targeted group,
2. document observations that credibly demonstrate change or desirable conditions, and
3. communicate the value and quality of the project.

Evaluation reports are due as noted:		
Federal Fiscal Year Funding	Interim Report Due	Final Report Due
FFY05	<i>Reports submitted Oct 05</i>	October 31, 2006
FFY06	November 30, 2006	October 31, 2007

**An LSTA Sub-Grant INTERIM Report is complete when the following are provided:**

NOTE: South Carolina State Library LSTA forms are available online at <http://www.statelibrary.sc.gov/lib/lsta.html>.

1. Use the, “Report and Evaluation” form.
2. **Name, Address, Telephone Number and E-mail** of (a) Sub-grantee (b) Project Administrator (c) Fiscal Officer
3. **Report Type.** Interim.
4. **Number of Persons Benefiting Directly from the Project.** *NOTE: If at this stage there are no preliminary numbers, indicate such.* Do not cite the total population of a service area or the potential population to be reached. Ideally, each person should be counted only once even though he or she may have used the service several times. For example if 13,233 people made 14,678 interlibrary loan requests, the number of persons served is 13,233, not 14,678.

5. **Expenditures.** *If at this stage there are no expenditures, indicate "none to date."* Otherwise, on the "Report and Evaluation" form, include LSTA grant funds, State Aid funds, Local funds and any other funds in the appropriate columns. If in-kind contributions are a significant factor in your project, in the report narrative, specify which dollar amounts are in-kind contributions vs. cash expenditures.
6. **Narrative.** *(See final report guidelines)* A summary of the project results and accomplishments to date must be provided. **If it is not possible at the interim report stage to address all sections required for the LSTA project evaluation narrative, simply address those sections applicable to your progress at this stage.** Indicate any circumstances that are affecting progress (negatively or positively) toward accomplishing project objectives.

**An LSTA Sub-Grant FINAL Report is complete when the following are provided:**

1. Use the Report and Evaluation form.
2. **Name, Address, Telephone Number and E-mail** of (a) Sub-grantee (b) Project Administrator (c) Fiscal Officer
3. **Report Type.** Final.
4. **Number of Persons Targeted for Service** *(See interim report guidelines)*
5. **Expenditures.** *(See interim report guidelines)*
6. **Narrative--Follow the outline below:**
  - A. **Summary of overall purpose of the project.** Answer the questions: what we do, for whom, and for what expected outcome or benefit. **If there are no changes from the original project application narrative, note such and proceed to item (B).**
  - B. **Project Activities/Methods.** Describe how the project was carried out. For example: How were workshops conducted? How was the service promoted? How were digital images from a historical collection captured, cataloged and made accessible? Review each specific project objective and provide a brief summary for each. Describe important activities relating to the objective and circumstances that affected the achievement of, or failure to achieve, the objective. If the project objectives were significantly surpassed or not met, the activity summary should include an explanation.

C. **Description of project results**

Project Outcomes -- Project outcomes are a change in the target audience's skills, knowledge, behavior, attitude, status, or life condition brought about in part by experiencing the project. Outcome based evaluation (OBE) provides information about the degree to which a project has met its goals in terms of creating these benefits for individuals. Please include a description of the ways outcome information was gathered, such as through a survey, focus group sessions, pre- and post-tests given in training, or other systematic measures of intended outcomes. Report on outcomes that were measured during the evaluation process.

Project Outputs -- Outputs are measures of the volume of a program's activity, i.e., products created or delivered, people served, activities and services carried out. Outputs are almost always numbers.

Anecdotal Information – This information should include client stories, reports of comments, feedback, and observations about how people used the products or services of a project, especially how they benefited from them. **Any project can, and should, include anecdotal information—it "puts a face" on the project's work.** The information that is reported in this section is informal in nature, whereas the information reported under Project Outputs and Project Outcomes comes from specific counts or measures.

In-kind contributions -- Use this section to report the total value of goods and services, of significant factor in the success of the project, provided by the sub-grantee towards the LSTA project.

Other results – Use this section to report results not documented in any of the above sections. For example, if partnerships/collaborations are a factor in the success of your project and you failed to report such, use this section to do so.

- D. **Exemplary Reason.** Do you consider your project to be worthy of the IMLS "exemplary" status? If no, skip this item and proceed to item (E). If yes, describe the factors that you consider merit selection of the project as exemplary, such as innovation and vision, impact on target audience, serving new population group, etc.
- E. **Ongoing Activities.** Describe programs, services and activities that are to be continued with local funding.
- F. **Summary comments.** Use this section for any additional comments you need to make about your report, e.g., advice to others considering similar projects.



- G. **Single copies of publicity materials.** Sub-grantees should include copies of all LSTA project related publicity materials, e.g., newspaper articles, videos, press releases, bookmarks, brochures, flyers, etc. **Provide only one copy of each item.**

## XI. SOUTH CAROLINA STATE LIBRARY LSTA STAFF CONTACT INFORMATION

South Carolina State Library staff contact information is available at <http://www.state.sc.us/scsl/stfemail.html>.

Library Development Services (LDS) staff serve as LSTA Sub-Grant Project Consultants to public library staffs and provide assistance with development of sub-grant proposals, official applications, and with interim/final project reports/evaluations. Contact Felicia Vereen, Director, Library Development Services. Email [feliciav@leo.scsl.state.sc.us](mailto:feliciav@leo.scsl.state.sc.us).

Questions or concerns related to LSTA requirements, guidelines, reimbursements and other related matters may be directed to Guynell Williams, LSTA Coordinator. Email [guynell@leo.scsl.state.sc.us](mailto:guynell@leo.scsl.state.sc.us).

State Librarian Patti J. Butcher is the Chief Officer of South Carolina's State Library Administrative Agency (SLAA). Email [patti@leo.scsl.state.sc.us](mailto:patti@leo.scsl.state.sc.us).

## XII. SUMMITTING LSTA REPORTS AND FORMS

**Original signatures are required on all LSTA forms; send paper copies to:**

*Guynell Williams, LSTA Coordinator, South Carolina State Library, P.O. Box 11469  
Columbia SC 29211*

(1) Copy of LSTA Sub-Grant Project Proposal

LSTA Sub-Grant Project Application: (1) Paper copy and (1) photocopy

(1) Copy of Completed Interim and Final LSTA Sub-Grant Project  
Report/Evaluation/Narrative

(1) Copy of Other Required LSTA Sub-Grant Forms

*LSTA project narratives and other narrative reports may be mailed or sent electronically.*

### XIII. APPENDICES

#### A. SOUTH CAROLINA STATE LIBRARY LSTA SUB-GRANT PROJECT FORMS

Throughout the LSTA Sub-Grant process, applicants and award recipients are required to submit certain forms which are available online at <http://www.statelibrary.sc.gov/lib/funding.html>. Also included online are:

1. Sample Award Contract (FFY06 Funds)
2. Internet Safety Certification & Instructions for Applicant Public Libraries – CIPA – Program Year 2006 Funds

#### B. SOUTH CAROLINA STATE LIBRARY LSTA 5-YEAR PLAN STATE GOALS AND FEDERAL LSTA PURPOSES

Use these charts to assist with determining which South Carolina State Library Five-Year Plan Goals and which LSTA Purposes best characterize and/or relate to your LSTA sub-grant project.

South Carolina State Library Five-Year Plan Goals
GOAL I: Enhance the informational services environment of South Carolinians by improving access to library resources and materials through the development of sophisticated resource sharing, and superior guidance and training of professional librarians and support staff for South Carolina libraries, with special emphasis on staff in underserved urban and rural communities.
GOAL II: Further the development of public library services and programs through continued support and guidance for South Carolina's public library directors, staff, boards of trustees, and friends groups, to improve the quality of library service within each community served.
GOAL III: Encourage the adoption and implementation of a statewide marketing plan through a centrally organized and professional team of library and non-library staff members that promote general library concepts and usage for all rural and underserved urban communities.
GOAL IV: Foster the development of initiatives and strategies through partnerships and the establishment of library cooperatives and consortia to improve utilization of resources, collections, and services in South Carolina libraries.
LSTA PURPOSES
1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
2. Developing library services that provide all users with access to information through local, state, regional, national, and international electronic networks;
3. Providing electronic and other linkages among and between all types of libraries;
4. Developing public and private partnerships with other agencies and community-based organizations;
5. Targeting library services to help increase access and ability to use information resources for individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and
6. Targeting library and information services to help increase access and ability to use information resources for persons having difficulty using a library and for underserved urban and rural communities, including children, from birth to age 17, from families with incomes below the poverty line (as defined by the Office of Management and Budget).

### C. USER DESCRIPTORS

Use this chart to assist in the development of your LSTA target group description. Primary User(s) are the people who will use the products or services provided under an LSTA funded project.

PRIMARY USER DESCRIPTORS	SECONDARY USER DESCRIPTORS –
Adults	
Children	Disadvantaged children
Institutionalized persons (includes people in correctional, hospital, and penal institutions)	
Library staff and volunteers	
Non/limited English speaking persons	
People with special needs (includes children)	Blind and visually-impaired persons Deaf and hearing-impaired persons Developmentally disabled Homebound persons Other (Specify)
Pre-school children	
Public library trustees	
Rural populations	
Senior citizens	
Statewide public	
Urban populations	
Young adults and teens	

### D. SERVICE DESCRIPTORS

Use this chart to assist you with describing the type of service to be provided by your LSTA sub-grant project.

PRIMARY SERVICE DESCRIPTORS	SECONDARY SERVICE DESCRIPTORS
Continuing education for the public	Distance education (includes web-based training) Lifelong learning
Cultural heritage programs	Local history Preservation
Digitization and digital library projects	Digitization Digital library projects
Economic development	Job and career services Small business services
Education-related services for children and teens	After school programs Home schooling Homework centers Pre-school programs Reading development Reading readiness Summer reading programs

Information access and services	Business information services Collection development Community information services Database access E-books Government information services and archives Health information services Information & referral (I&R) Local information Reference services Statewide database licensing
Institutional library services	Correctional library services (e.g., jails and detention centers) Hospital library services (includes long term care facilities, mental health hospitals, VA hospitals) Prison library services
Intergenerational programs	<i>There are no secondary descriptors</i>
Interlibrary loan	Document and materials delivery Resource sharing
Library development	Community and user studies Marketing/promotion of library services Strategic planning
Literacy programs	Adult literacy ESL programs Family literacy
Mobile services	Bookmobile services Cybermobiles Daycare vans
Outreach services	Books-by-mail Homebound services Services to ethnic and cultural groups Special needs services
Software and equipment	Adaptive technology Computers & peripherals
Staff development, education and training	Customer services skills Library science education and skills Management skills Technical skills
Technology infrastructure	Computer hardware and software Integrated library systems Intranets and extranets LAN/WAN projects Telecommunications and networking hardware and software
Training for the public	Computer training Database training Information literacy Internet training Technology training
Virtual library services	Portals and related Web projects Virtual reference service Virtual union catalogue

## E. EVALUATION METHODS

*The following information is adapted from guidance documents prepared by the IMLS. For more information see <http://www.imls.gov/applicants/overview.shtm>.*

The first step in choosing an evaluation method is deciding why to do it. This table, prepared by the IMLS, shows the four most common categories of messages about libraries and provides some of the models for collecting information that typically support them.

Message	Evaluation Strategy
How much we do	Inputs and outputs: statistics, gate counts, Web use logs, and other measures of quantity and productivity
How Well We Do It	Customer satisfaction, quality benchmarks, rankings
What Good We Do/Why We Matter	Outcomes measurement, impact assessment
How Much We Cost/What We're Worth	Return on investment and cost: benefit calculations

Although all the above messages and approaches (as well as others not listed) are valid, the best evaluation strategy depends on:

- the most important things you want the information to help you do or show,
- those you hope will use the information and how you want them to use it, and
- what you can afford or are willing to do.

Once you make these choices, identifying an evaluation approach becomes much easier.

### What is outcome evaluation?

**Outcome measurement answers the questions, “what difference do we make?” and “how are the lives of the project participants better as a result of the library’s program?”** The IMLS defines outcomes as benefits to people: specifically, achievements or changes in skill, knowledge, attitude, behavior, condition, or life status for program participants. Outcome-based evaluation, “OBE,” is the measurement of results. It identifies observations that can credibly demonstrate change or desirable conditions. It systematically collects information about these indicators, and uses that information to show the extent to which a program achieved its goals. Outcome measurement helps communicate the value and quality of the work of libraries to many audiences beyond IMLS.

### Steps to incorporate outcomes evaluation:

1. Develop the outcomes strategy with key people and build an action time line.
2. In user satisfaction surveys, ask customers to indicate ways in which information from the library affected key decision-making areas.
3. Use focus groups and observation of the everyday world of library customers. Identify observable and measurable behaviors or conditions. For example, a project designed to allow a library to share on-line history resources may have an intended outcome of increasing the comfort level of teachers with using the new on-line resources. The indicator is the # and % of teachers who report feeling at least 50% more at ease with using the new resource.

4. Keep a record of situations in which individual customers have told you about how they used information from the library. Ask the customer to send a brief email or note about it.
5. Use the interview method to fully understand a customer's impressions or experiences.
6. Use the observation method to gather information about how a program actually works. This method can adapt to events as they occur.
7. Collect outcome information at specific intervals, e.g., every 6 months, at the end of an activity or phase, at follow-up, or at program start and end for comparison when increases in skill, behavior, or knowledge are expected.

### **Other Evaluation Methods**

Traditional methods document productivity—resources used, people served, services provided. Although statistics tell only a part of the story, they are still important and valuable.

- **Input measures** quantify the resources that libraries have available to provide library services, e.g., size of collection.
- **Output measures** quantify what libraries actually produce with the inputs, e.g., number of hits on a library's web site.

Through combining customer satisfaction measures with the above, libraries are able to show the human meaning of statistics.

***NOTE:** The IMLS offers a web page that outlines resources available to guide decisions about collecting information to support any of the messages cited in the chart above. See <http://www.imls.gov/applicants/learning.shtm> for more information on OBE, outputs and inputs and more.*

## F. LIBRARY ORGANIZATION TYPES

The following are types of libraries that are eligible to receive LSTA State Program sub-grants.

Type of library	Definition
<b>Public</b>	A library that serves all residents of a given community, district, or region, and (typically) receives its financial support, in whole or in part, from public funds.
<b>School</b>	A library that is an integral part of the educational program of an elementary or secondary school with materials and services that meet the curricular information, and recreational needs of students, teachers, and administrators.
<b>Academic</b>	A library forming an integral part of a college, university, or other academic institution for postsecondary education, organized and administered to meet the needs of students, faculty, and affiliated staff of the institution.
<b>Special</b>	A research library, which for the purposes of LSTA, means a library that (1) makes publicly available library services and materials suitable for scholarly research and not otherwise available to the public; and (2) is not an integral part of an institution of higher education.
<b>Multi-type</b>	A group of autonomous libraries (library cooperatives, consortia, or library support organizations identified by the State as eligible for LSTA funds) joined together by formal or informal agreements to perform various services cooperatively, such as resource sharing, etc. Multi-Types should include two or more of the following categories of organization types: public, academic, school, or special libraries.
<b>SLAA</b>	A State Library Administrative Agency (SLAA) is the official agency of a State charged by the law of the State with the extension and development of public library services throughout the State.

**G. TIP SHEET – CIRCULAR 87 COST PRINCIPLES - ALLOWABLE/UNALLOWABLE COSTS** *Compiled by Michele Farrell, Senior Program Officer, IMLS 09/05*

When deciding whether a cost is allowable, please refer to Circular A-87 for full legal details. See

<http://stateprograms.imls.gov/documents/GovernmentForms/omb87.html>.

Generally Allowed Costs	Generally Unallowable Costs
Advertising & public relations*	Alcoholic beverages
Advisory councils	Bad debts*
Audit costs and related services	Contingency provisions
Bonding costs	Donations and contributions
Communication costs	Entertainment costs
Compensation for personnel services	Fines and penalties*
Depreciation and use allowances*	Fund raising and investment management costs*
Employee morale, health, and welfare costs	Gains and losses on disposition of depreciable property and other capital assets and substantial relocation of federal programs
Equipment and other capital expenditures	General government expenses*
Insurance and indemnification*	Goods or services for personal use
Maintenance, operations, and repairs*	Idle facilities and idle capacity*
Materials and supplies	Interest*
Meetings and conferences	Lobbying
Memberships, subscriptions, and professional activity costs*	Professional service costs*
Patent costs*	Selling and marketing*
Pre-award costs*	<p><i>This chart is only meant to provide a quick overview of allowable and unallowable costs.</i></p> <p><i>Asterisks (*) indicate there are exceptions to the rule.</i></p>
Proposal costs	
Publication and printing costs	
Rearrangements and alternations*	
Reconversion costs	
Rental costs of building and equipment*	
Taxes*	
Training	
Travel costs*	
Plant and homeland security costs*	
Royalties and other costs for the use of patents*	
Termination costs applicable to sponsored agreements*	



## Allowable/Unallowable Costs – Expanded Definitions

For additional information, see Office of Management and Budget (OMB) Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments" at <http://stateprograms.ims.gov/documents/GovernmentForms/omba87.html>.

### Advertising and Public Relations Costs

The term advertising costs means the costs of advertising media and resulting administrative costs. Advertising media include magazines, newspapers, radio and television programs, direct mail, exhibits, and the like.

The term public relations includes community relations and means those activities dedicated to maintaining the image of the governmental unit or maintaining or promoting understanding and favorable relations with the community or public at large or any segment of the public.

### Advertising and public relations costs are allowable:

- **only** for purposes specifically necessary to meet the requirements of the Federal award,
- **when** incurred to communicate with the public and press pertaining to specific activities or accomplishments that result from performance of the Federal award, and
- **when** necessary to conduct general liaison with news media to the extent that such activities are limited to communication and liaison necessary to keep the public informed on matters of public concern, such as notices of Federal contract/grant awards, financial matters, etc.

### Advertising Costs - UNALLOWABLE

- Costs of displays, demonstrations, and exhibits;
- Costs of meeting rooms, hospitality suites, and other special facilities used in conjunction with shows and other special events; and
- Salaries and wages of employees engaged in setting up and displaying exhibits, making demonstrations, and providing briefings;
- Costs of promotional items and memorabilia, including models, gifts, and souvenirs; and
- Costs of advertising and public relations designed solely to promote the governmental unit or organization.

### Equipment

Tangible non-expendable personal property having a life of more than one year and an acquisition cost of at least \$5,000. Applicants proposing to purchase equipment must include a list of all equipment to be purchased with the application.

- Generally LSTA funds may not be used to replace equipment already owned or leased by an applicant except for bookmobiles and information technology. Exceptions to this are handled on a case-by-case basis.

- Equipment shall be used by the sub-grantee in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by Federal funds. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported (45CFR 1183.32).
- When acquiring replacement equipment, the sub-grantee may use the equipment to be replaced in trade-in or sell the property and use the proceeds to offset the cost of replacement property, subject to approval of the State Library.
- Property records must be maintained that include a description of the property, a serial number or other identification number, the source of property, the acquisition date and cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.
- A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
- When original or replacement equipment acquired under the sub-grant is no longer needed for the original project or program or for other activities currently or previously supported by a Federal agency, disposition of the equipment will be made as follows:
  - Items of equipment with a current per unit fair market value of less than \$5,000 may be retained, sold or otherwise disposed of with no further obligation to the awarding agency.
  - Items of equipment with a current per unit fair market value in excess of \$5,000 may be retained or sold and the awarding agency shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the awarding agency's share of the equipment.

### **Food and Beverages**

Costs for food and beverages are allowable only when incurred as part of the costs of meetings and conferences where the primary purpose is the dissemination of technical information, e.g., a continuing education workshop. When not associated with the dissemination of technical information, the cost of food and beverages for programs and business meetings falls under the category of entertainment and is unallowable, as are all other entertainment costs, including incentives. (*Also see "Travel" and "Advertising Costs"*)

### **Library Materials**

Books, periodicals, newspapers, documents, pamphlets, photographs, reproductions, microforms, pictorial works, graphic works, musical scores, maps, charts, globes, sound recordings, processed video and magnetic tapes, computer software, materials designed specifically for the handicapped, and other **materials added to the collection to be used by or to serve the public**. DO NOT include materials acquired for administrative support. An LSTA application must identify the type of materials to be purchased, the quantity of each type of material, the area(s) of the collection, the unit cost and the total cost.

**Non-Reimbursable Expenditures**

Includes any expenditures for activities not budgeted in the approved sub-grant, any expenditures that were obligated or were incurred prior to the approval of the project and/or project revision, any expenditures that exceed any budget categories by more than 25% without prior approval, and any expenditures considered unallowable per Circular A-87.

**Other Expenditures**

For sub-grant purposes, "Other Expenditures" include contractual services, travel, supplies (both office and program supplies), printing, postage, training, and all other allowable costs except personal services, library materials and equipment. The application narrative must provide a breakdown and justification for "Other" expenditures.

**Personal Services**

This includes salaries, wages, and associated fringe benefit-costs. Contracts for services should be budgeted in the "Other" budget category. Sub-grant funds may not be used to replace local, state or other personal services funds. The application narrative must provide a breakdown and justification, related to the sub-grant project, for all Personal Services. Copies of position description(s) for each position funded with sub-grant funds should accompany the application or a statement indicating such is already on file at the South Carolina State Library.

**Printing (see also Publications)**

Materials printed/produced such as newsletters, flyers, bibliographies, materials for workshops or distribution. When materials are printed or published and those costs are claimed as part of the project (matching funds as well as sub-grant funds), include a copy of the item(s) produced with the request for payment.

**Procurement**

All goods and services purchased with sub-grant funds must conform to applicable federal law and standards (34 CFR 80.36), South Carolina Law (Act 283 of 1975), and local requirements.

**Repair and Maintenance**

Maintenance charges for equipment purchased under the sub-grant (not to exceed one year contracts) to keep equipment in good operating conditions can be paid with sub-grant funds. Operation and maintenance of equipment costs is a local responsibility after the conclusion of the project.

**Supplies**

All tangible personal property other than equipment.

## **Travel in direct support of LSTA project objectives**

- Travel expenses incurred specifically to carry out an award are considered direct costs.
- Travel costs are allowable for expenses for transportation, lodging, subsistence (meals), and related items incurred by employees traveling on official business relevant to an LSTA project. Such costs may be charged on an actual cost basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip, and results in charges consistent with those normally allowed in like circumstances in non-federally-sponsored activities.
- Costs incurred for travel, including costs of lodging, other subsistence, and incidental expenses (fees and tips given to porters, baggage carriers, bellhops and the like), shall be considered reasonable and allowable only to the extent such costs do not exceed charges normally allowed by the governmental unit in its regular operations as a result of the governmental unit's policy.
- Airfare costs in excess of the customary standard (coach or equivalent) airfare, are unallowable except when such accommodations would:
  - require circuitous routing,
  - require travel during unreasonable hours,
  - excessively prolong travel,
  - greatly increase the duration of the flight,
  - result in increased cost that would offset transportation savings, or
  - offer accommodations not reasonably adequate for the medical needs of the traveler.

## **Travel Reimbursement**

- Travel reimbursement for all or any of the above is limited by the State of South Carolina rates in effect at the time the expense is incurred.
- Libraries may not reimburse for travel associated with sub-grant activities at a rate that is greater than that allowed for other library activities.
- Supporting documentation for travel must be submitted on forms provided by the State Library or local forms providing the same information.

## H. LSTA LEGAL REFERENCES -- See <http://www.ims.gov/recipients/references.shtm>

### IMLS Legislation

- IMLS Statute 20 U.S.C. §§ 9101-9176 (<http://www.ims.gov/about/20usc.htm>)
- Museum and Library Services Act of 2003 (<http://www.ims.gov/pdf/2003.pdf>)
- P.L. 104-208 Museum and Library Services Act of 1996 (<http://www.ims.gov/pdf/1996.pdf>)

### IMLS Regulations

- IMLS Grants Regulations -- 45 CFR 1180 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_99/45cfr1180\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/45cfr1180_99.html))
- Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments - 45 CFR 1183 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_99/45cfr1183\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/45cfr1183_99.html))
- Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants) - 45 CFR 1185 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_99/45cfr1185\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/45cfr1185_99.html))
- Nondiscrimination in Federally Assisted Programs - 45 CFR 1110 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_99/45cfr1110\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/45cfr1110_99.html))
- Nondiscrimination on the Basis of Handicap in Federally Assisted Programs and Activities - 45 CFR 1170 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_99/45cfr1170\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/45cfr1170_99.html))

### OMB Grant Circulars and Forms

- OMB Grants Management Circulars ([http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html))

### Grant-Related Civil Rights and Accessibility

- Americans with Disabilities Act of 1990 (<http://www.dol.gov/esa/regs/statutes/ofccp/ada.htm>)
- Section 504 of the Rehabilitation Act of 1973 (<http://www.dol.gov/oasam/regs/statutes/sec504.htm>)
- Title VI of the 1964 Civil Rights Act ([http://www.usdoj.gov/crt/grants\\_statutes/titlevi.txt](http://www.usdoj.gov/crt/grants_statutes/titlevi.txt))
- Age Discrimination Act of 1975 ([http://www.dol.gov/oasam/regs/statutes/age\\_act.htm](http://www.dol.gov/oasam/regs/statutes/age_act.htm))
- Title IX of the Education Amendments of 1972 (<http://www.dol.gov/oasam/regs/statutes/titleix.htm>)
- Department of Justice Civil Rights Page (<http://www.usdoj.gov/crt/cor/12250.htm>)
- ADA Regulations and Technical Assistance Materials (<http://www.usdoj.gov/crt/ada/publicat.htm>)
- IMLS Guidance - Making Museums and Libraries More Accessible (<http://www.ims.gov/pdf/ADAREgs.pdf>)
- IMLS Guidance - Reaching Persons with Limited English Proficiency (<http://www.ims.gov/pdf/LEP.pdf>)

### Compliance with Other Federal Laws

- Drug Free Workplace Act of 1988 (<http://said.dol.gov/SummaryDocument.asp?ID=583>)

## I. PUBLICIZING YOUR LSTA SUB-GRANT AWARD: GENERAL GUIDELINES

The Institute of Museum and Library Services (IMLS) requires public acknowledgement of all activities supported by LSTA funds. The Institute has a logo and tag line that should be used in acknowledging its support. The tag line is as follows and it may be used with or without the IMLS logo:

*The Institute of Museum and Library Services, an independent federal agency that grows and sustains a "Nation of Learners," because lifelong learning is critical to success.*

In addition to acknowledging the IMLS, sub-grantees should also credit the South Carolina State Library in all related publications. Suggested wording:

*Publication of this document is funded by the South Carolina State Library under the Library Services and Technology Act, P.L. 108-81, as amended, through the Institute of Museum and Library Services.*

If an LSTA funded project results in products, such as bibliographies, manuals, or videotapes, the product must be made available to other South Carolina libraries through interlibrary loan or by the provision of a copy at no cost.

Include IMLS and South Carolina State Library logos on all related LSTA funded project publicity materials.

Logos are available online at <http://www.state.sc.us/scsl/images/index.html> and <http://www.imls.gov/recipients/logos.shtm>.

IMLS Acknowledgement Guidelines for Projects Supported By LSTA Funds	
Public Events	Acknowledge IMLS verbally. Display the IMLS logo on signage
Press Events	Acknowledge IMLS orally. Acknowledge IMLS on press kits and in press releases.
Printed Materials	For posters, use a size for which the words "Institute of Museum and Library Services" are legible from a distance.  For press kits and press releases, annual reports, newsletters, etc., the logo should be legible and no smaller than 1.75" wide,
Web Sites	Acknowledge IMLS on your Web site

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